

4.3 PLANNING

4.3.2 Legal and Other Requirements

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.3.2 The organization shall...

Conforms (Y/N)

...establish and maintain a procedure to identify and have access to legal and other requirements to which the organization subscribes, that are applicable to the environmental aspects of its activities, products or services.	
---	--

NOTES:

OVERALL CONFORMANCE: YES NO

4.3.2 Legal and Other Requirements: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	How does the Division keep track of changes to legal and other requirements?	
b.	Describe how changes to legal and other requirements are communicated to Division personnel.	
c.	How does the Division ensure that all environmental reports and permits required by federal, state, or local regulations have been identified?	
d.	What individual(s) has responsibility for preparing and submitting the reports/permits on time?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	What is the review process for monitoring changes to legal and other requirements?	
b.	Does any one person bear the responsibility of reviewing legal requirements as they relate to the EMS?	
c.	Describe how changes to legal and other requirements are communicated to division personnel.	
d.	Does the Division subscribe to any publications that track pertinent changes to federal/state/local regulations?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	Do you have access to the legal requirements and pertinent legislation associated with your section? If so, where can they be found?	
b.	How are you made aware of any changes to pertinent laws and regulations?	
c.	How do you communicate these changes to your staff?	
d.	How are new requirements incorporated into existing procedures and processes?	

4.3.2 Legal and Other Requirements: Supplemental Questions by Function (cont.)		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	If there were changes to environmental laws or regulations relating to your job, how would you be told of them?	
b.	Has this ever happened?	

NOTES:

DOCUMENTS:

- ☐ Legal and other requirements procedure.
- ☐ Communication to others in the organization on legal requirements.
- ☐ List of legal requirements (federal, state, local) to which the organization must comply.
- ☐ Listing of other requirements that the organization has decided to follow (e.g., industry codes of practice, certification programs, internal codes of practice).
- ☐ Procedures that incorporate legal and other requirements into daily activities or operations. Ask for a recent example of a new requirement being incorporated into procedures/operations.

EMS LINKS:

- Environmental Aspects
- Objectives and Targets
- Training, Awareness, and Competence
- Operational Control
- Monitoring and Measurement/Management Review